

# **SIMPLIFYING THE IMPLEMENTATION OF THE RESEARCH FRAMEWORK PROGRAMMES**

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## STRATEGY EU2020 RESEARCH AND INNOVATION

- Launched in March by the European Commission: follow-up Lisbon Strategy
- New european strategy for growth and jobs
- Focusing key areas such as Knowledge, Research and Education

## STRATEGY EU2020 RESEARCH AND INNOVATION

- EU Target of investing 3% of GDP in R&D  
EU lacks investment in R&D:
  - US 2.7% of GDP in R&D
  - Europe 1.8% of GDP in R&D
- Target EU Education:
  - Reduce the share of early school leavers to 10% from the current 15%
  - Increase the share of the population aged 30-34 having completed tertiary education from 31% to at least 40%.

## MAIN PROBLEMS OF FRAMEWORK-PROGRAMMES

- Excessive bureaucracy
- High complexity
- Poor efficiency
- Low risk tolerance
- High administrative control
- No distinction between error and fraude

## RELEVANCE OF THE “SIMPLIFICATION” REPORT

- Midterm Review of FP7
- Budget Review
- Revision of the Financial Regulation
- Revision of the Tolerable Risk of Error
- Definition of FP8

# REPORT

## *SIMPLIFYING RESEARCH FRAMEWORK PROGRAMMES*

- A. Administrative and financial simplification
- B. Improving quality, accessibility and transparency
  - 1. 'science-based' approach
  - 2. Optimising time
  - 3. 'user-centred' approach
- C. Synergies of programmes and instruments
- D. Lessons to be drawn for the future FP8

## A - ADMINISTRATIVE AND FINANCIAL SIMPLIFICATION

- Trust-based and risk-tolerant approach
- Harmonization of rules at the different instruments
- Clarify the terminology
- Acceptance of the usual accounting and management principles and practices of the beneficiary

### **Question: Is the introduction of lump sums within FP programmes and instruments a desirable approach?**

- The terminology on the use of lump sums and flat rates should be clearly defined so as to avoid different interpretations
- Lump-sums and flat rates should be exceptional and used on a voluntary basis and only in justified cases
- Introduction of lump sums covering 'other direct costs'
- Assess the use of lump sums for personnel costs
- Lump sums are the most effective alternative for International Cooperation Partner Countries within the FP
- The general use of lump sums such as negotiated project-specific lump sums or pre-defined lump sums per project is inadequate
- launching pilot tests of the 'result-based funding' with project-specific lump sums paid against agreed output/results for research and demonstration projects in specifically challenging areas is recommended



## **B - IMPROVING QUALITY, ACCESSIBILITY AND TRANSPARENCY**

1. 'Science-based' approach
2. Optimising time
3. 'User-centred' approach

## 1. 'SCIENCE-BASED' APPROACH

- Peer review based on excellence (ERC)
- 'Science-based' funding system
- Simplification of the control of the financial side

### **Question: Under which circumstances would the research based approach be beneficial?**

- Beneficiaries carry out funded activities in good faith and make efforts to achieve the results expected
- Possible negative impact of result-based funding on the quality and nature of research
- Potential outcome in terms of further ex-ante and ex-post evaluation of project output/results
- Simplification of financial accountability requires a more trust-based and risk-tolerant approach

## 2. OPTIMISING TIME

- Two-stage application procedure
- Member States to provide opinions on selection decisions

### 3. 'USER-CENTRED' APPROACH

- Optimizing the IT-systems
- Maintain the same project officer throughout the lifetime of the project
- Video Conference

## SYNERGIES OF PROGRAMMES AND INSTRUMENTS

- Uniform interpretation
- Uniform application of rules and procedures across all programs and instruments
- Different set of rules for research centres and universities and then for industry and again for SMEs

### **Question: How could the complexity of the EU research funding landscape and the multiplicity of rules best be reduced?**

- To reduce the complexity of EU programmes (e.g. FP, CIP, Structural Funds) and associated instruments (JTI, Article 187 initiatives, PPPs, Article 185 projects, KICs, Era-net etc.)
- A combined action will result in full exploitation of synergies
- To reduced set of rules to govern EU funding for R&D
- Coherence and harmonisation in the implementation and interpretation of the rules and procedures
- To apply this set of rules across the whole FP and associated instruments
- Mechanisms to provide common guidance within the Commission, and launching training for project officers and internal auditors
- To create an appeal mechanism such as an 'FP mediator' for participants in cases of incoherent and inconsistent interpretation of rules and procedures

### **Question: Is it worthwhile to envisage some changes yet to the FP7 rules?**

- Radical overhaul of the administration of the FP is one of the highest priorities to be tackled in designing the forthcoming FP
- For each measure, it is necessary to stipulate whether a change in the financial regulation or in the rules for participation or in the specific programmes is required or not
- It is necessary to stipulate if the measures are to be applied to FP7 or only to FP8
- For FP7 - phase these changes in gradually in order to avoid sudden drastic changes in direction within the same framework program



## LESSONS TO BE DRAWN FOR THE FUTURE FP8

- I. Balance
- II. Excellence
- III. Instruments
- IV. Priorities
- V. Building ERA

## LESSONS TO BE DRAWN FOR THE FUTURE FP8 - BALANCE

- The entire chain of innovation should be taken into account
  - Frontier research
  - Applied research
  - Technological demonstration
  - Dissemination
  - Valorisation of results
- Well balanced division between frontier research and applied research funding
- EIT as part of the innovation strategy
- New instrument to support participation of SMEs
- More balanced **IPR** ruling

## LESSONS TO BE DRAWN FOR THE FUTURE FP8 - EXCELENCE

- Peer review based on excellence(ERC)
- Structural Funds to capacity building
- MS should look for complementarities between Structural Funds and FP – excellence and cohesion

## LESSONS TO BE DRAWN FOR THE FUTURE FP8 - INSTRUMENTS

- To reduce the number of instruments and to simplify the rules
- IDEAS and PEOPLE – reinforce ERC e Marie Curie
- COOPERATION – reinforce internacional, inter-sectorial e interdisciplinar collaboration
- Develop Future and Emerging Technologies - FET like schemes
- Coordinate research funding (FP, JPI, PPP)
- JTIs rules should be changed: Industry- more flexibility and simpler rules; Universities, Research Centres and SMEs – more transparency and open access to JTIs

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PUBLIC HEARING

**Envolvimento dos cidadãos europeu no debate do processo de simplificação**

2010-05-28

PUBLIC HEARING

**Contribuições para o Relatório sobre a Simplificação das Regras de Participação...**

2010-06-16

THE REPORT ITSELF

**Draft report on "Simplifying the implementation of the Research Framework...**

2010-06-28

## Highlights

OP-ED ARTICLES

**Urge simplificar o acesso aos fundos (Diário Económico)**

2010-06-22

PRESS RELEASES

**"Erasmus - Jovens Empreendedores" anunciado em Estrasburgo por Graça Carvalho e pelo Vice-Presidente da Comissão Europeia**

2010-07-07

## Personal Campaigns

CAUSES - CLIMATE CHANGE

**Encontro com a Comissária para a acção no domínio do clima**

2010-07-06

CAUSES - INNOVATION

**Maria da Graça Carvalho apela à criação de um Programa Conjunto de Investigação para a região sudoeste da Europa**

2010-06-16

## Diary

**Reunião com o Presidente do IST**

2010-07-09

**Seminário "Simplificação das Regras de participação nos actuais e futuros programas de Ciência e Inovação" - LISBOA**

2010-07-09

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